**TO:**       **José Abreu, P.E.**
              **Secretary**

**FROM:**     **Cecil T. Bragg, Jr., C.P.A.**
              **Inspector General**

**COPY:**     **Assistant Secretary Clary, Assistant Secretary Thibault, Assistant Secretary**
              **Llort, Chief Information Officer Hill**

**SUBJECT:**  **Management of EDMS Initiative**
              **Contract P0162**

## Executive Summary

The purpose of this Advisory is to report interim audit results of the management of the
Electronic Document Management System (EDMS) Initiative - Contract P0162.  Each audit
objective focuses on a different, key phase of the EDMS initiative.  This interim report
addresses the findings associated with Objectives 1 and 2.  A subsequent report will address
Objectives 3 and 4.  The four audit objectives were:

- **Objective 1 –** Did project development procedures, specifications, and management
  direction effectively ensure the realization of an electronic document management
  system?
- **Objective 2 –** Did the vendor selection process for the EDMS vendor integrator fully
  comply with established procedures and efficiently and effectively ensure an
  appropriate vendor selection?
- **Objective 3 –** Did the contract negotiation process fully comply with established
  procedures and efficiently and effectively ensure that contract terms and fees were
  fairly negotiated?
- **Objective 4 –** Did contract and project management fully comply with established
  procedures and efficiently and effectively ensure the success of the EDMS project?

We conclude the project development procedures, specifications, and management direction did
not effectively ensure the realization of an electronic document management system.  We did not
assess or draw conclusions regarding the overall success of the EDMS initiative.  Additionally,
the vendor selection process did not fully comply with established procedures and did not
effectively ensure an appropriate vendor selection process.

To eliminate obstacles to the efficient and effective implementation of EDMS and to provide
management with a means of measuring EDMS successes, we recommend the Secretary task
the Chief Information Officer with establishing specific project goals, deliverables and
milestones, and creating procedures that contain the specific operating requirements and
instructions necessary to implement current EDMS policy.

To address the systemic issues impacting both the EDMS initiative and the Department as a whole, we recommend the Secretary task the Executive Board to establish and maintain an organizational culture that balances project completion needs with compliance, transparency, and accountability.  To create this balance, the Executive Board should establish the expectations that:

- Proper stewardship of State resources is a fundamental responsibility of Department managers and staff;
- Department employees must ensure that resources are used efficiently and effectively to achieve intended results; and
- Resource use must be consistent with the Department's mission, in compliance with law and regulation, and minimize the potential for waste, fraud, and mismanagement.

To establish the above expectations, the Executive Board should:

1) Evaluate current Department training for coverage of matters of ethics and governance and enhance project and contract manager training.

2) Ensure that Department project and contract managers are adequately trained in matters of fiscal responsibility.  We recommend all Department project managers be required to attend the Department of Financial Services' course "Getting What You Pay For", or a comparable course.

3) Establish a position responsible for contract management in major functional areas to support project managers.  These individuals must possess the appropriate contract management skill sets and have an ongoing program of contract management training.

4) Establish and require adherence to the Project Management Handbook.

5) Implement, enforce, and monitor adequate procurement processes and procedures, which require a detailed justification of the selection, thorough reference checks, including the vendor's Department experience, and require vendor selection committees to sign disclosure statements for actual or perceived conflicts of interest.

## Introduction

This audit is being performed by the Office of Inspector General as a result of contract and project management weaknesses identified in our Contract Audit No. 140-2014; Yang Enterprises, Inc., (YEI) Contracts BA974 and P0162.  The Department is engaged in legal proceedings pertaining to YEI and the former EDMS Project Manager Ms. Mavis Georgalis.

This engagement was performed in accordance with applicable Government Auditing Standards issued by the Comptroller General of the United States and Standards for the Professional Practice of Internal Auditing published by the Institute of Internal Auditors.

## Background

The EDMS Executive Steering Committee (ESC) originally consisted of Secretary Ben Watts and Assistant Secretaries Tom Barry and Frank Carlile.  The ESC created the EDMS Task

Team, later known as the Functional Steering Committee (FSC), to review the Department's ongoing and divergent efforts in the area of document management. It was anticipated that the FSC would review Department activities, industry trends, and the experiences of other governmental entities in order to provide recommendations on how best to proceed in the area of electronic document management. The FSC reported to the ESC which exercised final decision approval authority.

Established August 19, 1993, the FSC initially consisted of 11 members from diverse Department offices. By December 1994, the FSC had grown to 27 members, including representatives from Design, Construction, Administration, Planning, General Counsel, Office of Management and Budget, Office of Information Systems (OIS), Rail, and District Production. Some of the FSC's more notable decisions include:

- Implementation of the Central Infrastructure Development Facility (CIDF);
- Creation of the EDMS Project Manager and CIDF Manager Positions; and
- Contracting with industry expert Universal Systems, Inc. (USI) in June of 1994, to assist in Department needs assessment, development of functional specifications, vendor evaluation, and other broad activities related to document management.

USI was tasked with analyzing the Department's document management needs and developing a plan for implementing an electronic document management system. On November 30, 1994, USI published the Functional Specifications Document which summarized the results of their analysis and detailed a comprehensive plan for implementing an enterprise-wide electronic document management system. In the Functional Specifications Document, USI recommended that the Department conduct a broad based re-engineering study and develop a re-staffing plan, both of which are common steps in a business process re-engineering initiative.

Though not well defined in its development, it is clear that the FSC envisioned broad Departmental changes which would constitute business process re-engineering and necessitate changes in both business processes and Department culture. This is further emphasized by then Assistant Secretary Barry's comments to the FSC in which he stated that EDMS included more than just documents; that it also included workflow processing and re-engineering.

Based on FSC recommendations, the Department issued Policy 000-325-008, Electronic Document Management, dated February 1, 1995, which states that it is the policy of the Department to pursue an enterprise-wide electronic document management system for both its engineering and administrative operations. The intent of this policy is to provide an automated system that will:

- Improve the efficiency of Department operations
- Reduce operating costs
- Improve customer service
- Improve quality of information maintained

This policy also designates the Functional Specifications Document as a guide and five-year implementation plan.

The position of EDMS Project Manager was originally created to coordinate the Department's consultant contract with USI. The EDMS Project Manager served as the Department's consultant liaison and was responsible for ensuring the Department's interests and expectations were met and that USI's deliverables addressed Department needs. In April of 1996, the FSC approved the establishment of the Central Infrastructure Development Facility (CIDF). The CIDF Manager was responsible for overseeing the initial setup of the CIDF and supervising pilot projects.

In July of 1995, Assistant Secretary Barry appointed Don Lyles as the first EDMS Project Manager. Dave Brazet served as the Interim EDMS Project Manager from August 1997 to February 1998 when Mavis Georgalis began as the Department's Manager of Specialized Technologies. As Specialized Technologies Manager, Ms. Georgalis functioned as both the EDMS and GIS Project Managers. Ms. Georgalis continued serving as the USI consultant contract coordinator until the contract expired.

In June of 1996, the FSC appointed Ms. Georgalis as the on-site CIDF Manager. In September of 1996, Dave Brazet, Chair of the EDMS Task Team, requested of Secretary Tom Barry that a permanent position be created for Ms. Georgalis allowing her to continue to serve as the CIDF Manager under the Central Office rather than District 2.

USI's Functional Specification Document outlined the system requirements and technical concepts used to develop a comprehensive product questionnaire for use in the procurement process. The first attempt to procure EDMS vendor integrator services, through a Request for Proposal (RFP), did not result in the selection of an EDMS vendor due to a lack of qualified vendors. A second attempt to procure these services utilized an Invitation To Negotiate (ITN).

Ms. Georgalis coordinated the procurement of EDMS vendor integrator services for Contract P0162 through the ITN. She assembled a five-person team of technical evaluators to review and score vendor responses to the product questionnaire. This team was composed of Ms. Georgalis, Lori Forster, Rick Eggers, Elwin Broome, and Frank Sullivan, and was dissolved after technical evaluations were completed.

The review of technical proposals submitted through the ITN generated a short list of vendors. In accordance with the ITN, the top two vendors, Yang Enterprises, Inc. (YEI) and Blueridge Technologies, Inc., were invited to participate in a Live Test Demonstration. After these demonstrations were scored, both vendors were asked to submit a price proposal.

YEI was selected as the EDMS vendor integrator responsible for the development and installation of an enterprise-wide EDMS. Contract P0162 was executed on January 20, 1999. YEI's proposed EDMS solution included use of the ARCIS software package developed by Siemens-Nixdorf Information Systems Inc. (Siemens-Nixdorf). Ms. Georgalis was responsible for both contract and project management on Contract P0162.

The Project Implementation Team (Project Team), under the supervision and direction of Ms. Georgalis, was responsible for the implementation of EDMS applications. The Project Team consisted of both Department employees and consultants experienced with information

technology application development.  The Project Team worked on both EDMS and GIS applications.

Although YEI stopped working on the EDMS initiative in 2001, Contract P0162 was not cancelled until 2004, when replacement software for ARCIS was fully migrated to Department systems.  OIS procured Hummingbird's Document Management Suite to replace ARCIS in an effort to address concerns about the ability of ARCIS to continue to meet the Department's needs.

Effective February 21, 2002, the EDMS policy statement was updated to establish the Department's policy on GIS, to remove language referring to the Functional Specifications Document and the EDMS Task Team, and to update project goals.  At this time, the topic number was changed to 001-325-008-b.  Effective March 18, 2004, Policy Statement 001-325-008-c revised the stated purposes and project goals of  EDMS and GIS.

*See Appendix B for Policy Statement 001-325-008-c, Electronic Document Management and Geographic Information Systems.*

To date, the EDMS initiative has resulted in the implementation of several electronic document management applications.

*See Appendix C for timelines of the development of the EDMS initiative and the vendor selection process.*

## Objectives, Scope, and Methodology

As previously stated, the **objectives** covered in this Advisory Memorandum were:
- Did the project development procedures, specifications, and management direction effectively ensure the realization of an enterprise wide document management system, and
- Did the vendor selection process fully comply with applicable procedures, and efficiently and effectively ensure an appropriate vendor selection?

The **scope** of this audit covers information related to the EDMS initiative beginning in 1992 with the Production Management Business Area's analysis of EDMS through the cancellation of Contract P0162 in 2004.  Fieldwork began in August of 2004 and is currently ongoing.  Ms. Georgalis was not interviewed due to ongoing litigation.  We did not assess or draw conclusions regarding the overall success of the EDMS initiative.

The **methodology** used to achieve our audit objectives included:
1) Best practices research;
2) Review of applicable statutes and procedures;
3) Review of the vendor selection files;
4) Review of the EDMS project documentation;
5) Analysis of planned verses actual schedules and resources;
6) Comparison of the vendor selection process to requirements; and
7) Staff interviews.

## Findings and Recommendations

# Audit Finding 1
# Development of EDMS Initiative - Contract P0162

**OBJECTIVE 1**
Did the project development procedures, specifications, and management direction effectively ensure the realization of an electronic document management system?

**CONCLUSION**
The project goals, procedures, specifications, and management direction did not effectively ensure the realization of an electronic document management system.  We did not assess or draw conclusions regarding the overall success of the EDMS initiative.

**SUPPORTING EVIDENCE**
The FSC selected an implementation strategy that was inconsistent with the stated EDMS goals.  An information technology application implementation methodology was used to effect change that required a broader enterprise-wide business process re-engineering methodology. Business process re-engineering involves redesigning the way work is done to better support the  organization's mission and to reduce costs.  Re-engineering identifies, analyzes, and redesigns an organization's core business processes, resulting in decreased costs and improved quality, service, and speed.  These expected benefits closely parallel the Department's EDMS goals as stated in Policy 000-325-008-a.

The FSC strategy presumes that a significant change in business processes and Department culture would happen organically (effortlessly) – this was not a reasonable expectation.  The following items are symptomatic of not providing adequate direction and oversight:

- The ESC did not plan or direct the initiative in a manner conducive to meeting the stated goals of the EDMS project.
- The FSC did not develop an implementation plan that included critical elements and milestones and specific time tables.
- The Functional Specification Document, designated as the guide and five-year implementation plan, emphasized application development and did not address the broader business process goals.
- EDMS requirements established in the RFP and ITN contained functional specifications for features desired by the Department but not readily available in the marketplace.
- The FSC and ESC dissolved in early 1998 with the appointment of the EDMS Project Manager.  After early 1998, there was little involvement on the part of senior management.
- As the OIS Specialized Technologies Manager, the EDMS Project Manager was responsible for both GIS and EDMS.
- The EDMS Project Team lacked a clear team charter and project plan.  Furthermore, the EDMS Policy applicable during the development phase of the initiative defined

duties for the Project Team which were inconsistent with the achievement of the broader EDMS goals. ***See Appendix A for Policy 000-325-008-a, Electronic Document Management.***

- The Project Team did not consist of individuals who were qualified and trained to carry out re-engineering projects and did not represent all of the functional disciplines affected by the project implementation.
- The criteria used to select the EDMS Project Manager was inconsistent with the stated goals of the EDMS project. The key qualifications for the Project Manager focused only on experience with electronic document management, rather than on experience with implementing enterprise-wide business process re-engineering initiatives. The EDMS Project Manager did not posses the experience required to successfully bring about the Department-wide business process changes.
- The EDMS vendor integrator, YEI, did not possess the software expertise or demonstrate the requisite experience to successfully implement an EDMS. More information regarding this issue is included in Finding 2.
- Management did not to publish EDMS Procedure 325-055-015.

**CRITERIA**
**Policy 000-325-008, Electronic Document Management**

**Policy 001-325-008, Electronic Document Management and Geographical Information Systems.**

**Functional Specifications Document**
Policy 000-325-008 established the Functional Specifications Document as the Department's five-year guide and EDMS implementation plan. This document recommended that the Department perform a broad based re-engineering study to analyze current business practices and to determine potential re-engineering costs and benefits. The Functional Specifications Document also recommended that the Department perform a re-staffing study to address the impact of personnel changes resulting from business process re-engineering.

**Best Practice Research**
The Department of Defense's Business Process Re-engineering Guide, the U.S. Government Accountability Office's Business Process Re-engineering Assessment Guide, and a variety of other literature provided common characteristics of successful business process re-engineering projects. This research indicates that the following are necessary to ensure the success of the EDMS initiative:

- Ongoing involvement of senior management;
- Clear project guidance and direction;
- Well developed, clearly communicated objectives which focus on strategic business needs;
- Experience in business process re-engineering;
- Development and use of a comprehensive implementation plan;
- A charter outlining the scope and goals of the project, the team's authority and interactions with executive management, and any other special considerations; and

- A project plan that describes the activities, deliverables, and time frames for the effort and serves as the baseline for managing activities and measuring progress.

The Department of Defense's Business Process Re-engineering Guide also provided key concepts to consider when planning and executing a business process re-engineering effort, such as:
- Minimize "as-is" business process analysis;
- Streamline business operations;
- Hone in on the real business requirements and challenge processes that merely accommodate the way it has always been done;
- Reduce the cost of doing business by eliminating:
    - Obsolete and inefficient processes;
    - Obsolete regulations and controls;
    - Lengthy review and approval cycles; and
- Ensure business processes are integrated across all impacted functional areas.

**CAUSE**
During the development of the EDMS initiative, management did not:
- Develop an implementation methodology that was consistent with the stated goals of the EDMS;
- Provide OIS sufficient direction and oversight;
- Establish and communicate specific EDMS goals, procedures, deliverables, milestones, or roles and responsibilities that efficiently and effectively ensured the realization of an electronic document management system.

**IMPACT/RISK**
Not effectively developing the EDMS initiative has resulted in the Department inefficiently expending resources.

**RECOMMENDATION**
In response to issues affecting EDMS, management updated EDMS Policy Statement 000-325-008-a, deleting business process re-engineering references and better aligning EDMS Policy with actual project goals. In order to provide better oversight and direction, management re-assigned the responsibility for the EDMS and GIS projects to the Business System Support Office.

However, persistent obstacles have impeded the efficient and effective implementation of EDMS. In order to overcome these obstacles and to provide management with a means of measuring EDMS successes, we recommend the Secretary task the Chief Information Officer with:
1) Establishing specific project goals, deliverables, and milestones to allow the Information Resource Management Council to monitor the progress of the EDMS initiative.

2) Creating EDMS procedures that contain specific operating requirements and instructions to implement Policy Statement 001-325-008-c.

**MANAGEMENT'S RESPONSE**

DRAFT

# Audit Finding 2
# Vendor Selection Process

**OBJECTIVE**

Did the vendor selection process for the EDMS vendor integrator fully comply with established procedures and efficiently and effectively ensure an appropriate vendor selection?

**CONCLUSION**

The vendor selection process did not fully comply with established procedures and did not effectively ensure an appropriate vendor selection.

**SUPPORTING EVIDENCE**

While our overall conclusion is that the vendor selection process did not effectively ensure an appropriate vendor selection, the process was well executed in a number of respects:

- The vendor section process conformed in all material respects to applicable time and resource constraints;
- The Technical Evaluation Team took an organized approach to evaluating the vendor proposals;
- The Live Test Demonstration process involved a wide cross-section of Department personnel representing diverse areas of expertise;
- USI compiled vendor reference information during the evaluation phase; and
- The ITN process required the completion of a pilot project prior to execution of the contract.

However, the following conditions are the basis for our conclusion that the vendor selection process did not effectively ensure an appropriate vendor selection:

- In their January 1998 proposal, YEI misrepresented their EDMS experience. The proposal included references for Siemens-Nixdorf installations of ARCIS software on which YEI had not participated. YEI entered into a partnership agreement with Siemens-Nixdorf in June 1998.
- YEI had not previously installed production ARCIS on an enterprise-wide basis and further had limited practical experience with electronic document management implementation.
- Under Ms. Georgalis' project management in District 2, YEI failed to deliver software under ICF Kaiser Contract C5767. This information was not disclosed to the other members of the Technical Evaluation Team.
- As the EDMS Project Manager, Ms. Georgalis did not disclose critical first-hand experience with YEI and did not heed USI warnings regarding deficiencies in YEI's practical electronic document management experience. The following quote indicated the nature of these warnings:

> *"Yang showed no knowledge of Document Management. They demonstrated very little knowledge of the Siemens product suite. The only product knowledge that was displayed was learned during the week before the live test demonstration. They demonstrated no ability to implement and maintain the system being proposed."*
> **USI's Yang/Siemens Live Test Demonstration Report dated May 20, 1998**

- References were not adequately considered by the Technical Evaluation Team, which resulted from the EDMS Project Manager withholding pertinent vendor performance information.  The Project Manager awarded YEI 15 out of 20 points for "references," tying the highest score Ms. Georgalis awarded in this category despite the fact that she was aware of YEI's prior performance issues.
- All phases of the vendor selection process were not performed by at least three individuals as required by Section 287.057, F.S., and Department Procedure 375-040-020.
- YEI failed to satisfactorily complete the Live Test Demonstration project and was unsuccessful in demonstrating the ARCIS software.
- Live Test Demonstration results were not adequately considered.  Source documentation was not available to verify demonstration results.  Neither a comprehensive summary nor a formal statement of Live Test Demonstration results was in the procurement file or other vendor selection records.
- The two key criteria used by the EDMS Project Manager, to support the selection of YEI, were their proposed decentralized solution and compatibility with the Department's current operating system (Windows NT Version 4.0).  These two criteria were  inappropriately emphasized over the primary selection criteria – the results of  the technical proposal evaluations, Live Test Demonstrations and vendor references.
- YEI staffed the pilot project with one on-site individual hired after the Live Test Demonstration.  This individual had no experience with ARCIS or the Department's requirements.  Ms. Georgalis directed other Department consultants to assist YEI staff with installation of ARCIS software in an attempt to implement the CDMS pilot project.
- YEI failed to successfully implement a pilot project prior to contract execution as required by the ITN.  Implementation of a Construction Document Management System (CDMS)  pilot project was required by the ITN as a condition of executing the contract.
- ITN requirements were further violated in that no résumés, Price Proposal scoring, or formal statement of vendor selection results were in the procurement file or other vendor selection records.

## CRITERIA
**Section 287.057, Florida Statutes, Procurement of Commodities and Contractual Services**
This statute contains procurement requirements, including the requirement that a selection team consist of at least three employees who have experience and knowledge in the program areas and service requirements for which contractual services are sought.

**Department of Management Services Memorandum #21**
This memorandum provides ITN process guidelines, including basic methodologies for competitive negotiations.

**Procurement Procedure 375-040-020, Procurement of Commodities and Contractual Services**
This procedure requires the Contractual Services Unit to maintain a contract file which contains all pertinent documentation of the procurement, contracting, and the administrative

phases.  It also requires that the vendor selection process complies with Section 287.057, F.S., and that three or more people perform the selection.  This procedure also describes the procurement process as the preliminary portion of the overall acquisition process, which includes the development of the scope of services, the preliminary development of payment methods/terms and conditions, the selection of the contractor, and the establishment of pricing information.

**ITN Document JA0698D1, Sections 6.0, 7.1, and 7.2 Vendor Background and Evaluation.** This document:
- Requires the vendor to describe their installed base of the software product being proposed, which must include the number of installations, configuration, architecture, seats, and main customers utilizing the products;
- Establishes the evaluation and ranking criteria for each phase of the ITN process;
- Requires specific criteria and forms for developing price proposals;
- Requires vendors to provide résumés of the personnel who may be used to provide professional services; and
- States that the selected vendor will develop a pilot application that must pass a quality assurance test.

**1997-1998 Sterling Quality Challenge**
In its response to the Sterling Quality Challenge Self Assessment Report, the Department stated that senior leaders promote the values of hard work, quality, teamwork, honesty, loyalty, and accountability.  The Department further indicated that senior leaders expect employees to adhere to the Agency's values, do the job right the first time, work in an efficient manner, and provide quality customer service.

**Management Best Practices**
The Department has adopted five fundamental leadership competencies necessary for excellence.  These competencies emphasize the ability to develop and implement strategies to maximize employee performance excellence and foster high ethical standards in meeting the Department's vision, mission, and goals.  They also require management to develop and implement an organizational vision and to incorporate that vision into the State's Transportation goals and the Department's core values.  The core competencies require management to demonstrate business judgment and be able to manage and apply financial, human resources, and technology management to accomplish the organization's missions.  Effective and efficient decision making epitomizes sound business judgment. Results driven management stresses accountability and continuous improvement.

**Department Core Values**

> **Integrity –** We are committed to honesty, loyalty, and a high standard of ethical conduct.

> **Respect –** We value diversity, talent, and ideas.  We believe every individual should contribute and have the opportunity to be heard.

**Excellence –** We achieve performance excellence through hard work, innovation, creativity, and prudent risk taking.

**Team Work –** We accomplish more by working together and relying on each other.

**CAUSE**

The following factors contributed to the vendor selection process failure:

- The EDMS Project Manager withheld pertinent information and did not ensure compliance with all statutory and procedural requirements.

- The Department has not trained or developed all Project Managers to be effective Contract Managers. Effective contract management skills are necessary due to increased outsourcing and privatization.

**IMPACT/RISK**

An inappropriate vendor selection increases the risk that the EDMS initiative will not be successful and agency resources will be wasted.

**RECOMMENDATION**

To address the systemic issues impacting both the EDMS initiative and the Department as a whole, we recommend the Secretary task the Executive Board to establish and maintain an organizational culture that balances project completion needs with compliance, transparency, and accountability. To create this balance, the Executive Board should establish the expectations that:
- Proper stewardship of State resources is a fundamental responsibility of Department managers and staff;
- Department employees must ensure that resources are used efficiently and effectively to achieve intended results; and
- Resource use must be consistent with the Department's mission, in compliance with law and regulation, and minimize the potential for waste, fraud, and mismanagement.

To establish the above expectations, the Executive Board should:
1) Evaluate current Department training for coverage of matters of ethics and governance and enhance project and contract manager training.

2) Ensure that Department project and contract managers are adequately trained in matters of fiscal responsibility. We recommend all Department project managers be required to attend the Department of Financial Services' course "Getting What You Pay For", or a comparable course.

3) Establish a position responsible for contract management in major functional areas to support project managers. These individuals must possess the appropriate contract management skill sets and have an ongoing program of contract management training.

4) Establish and require adherence to the Project Management Handbook.

5) Implement, enforce, and monitor adequate procurement processes and procedures, which require a detailed justification of the selection, thorough reference checks, including the vendor's Department experience, and require vendor selection committees to sign disclosure statements for actual or perceived conflicts of interest.

**MANAGEMENT'S RESPONSE**

## APPENDIX A

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<u>POLICY STATEMENT</u>                          Effective:  February 1, 1995
                                        Office:  Information Systems
                                        Topic No.:  000-325-008-a


### ELECTRONIC DOCUMENT MANAGEMENT


It is the policy of the Department to pursue an enterprise-wide electronic document management system (EDMS) for both its engineering and administrative operations.  The intent of this policy is to provide an automated system that will:

> o Improve the efficiency of DEPARTMENT operations
> o Reduce operating costs
> o Improve customer service
> o Improve quality of information maintained

The policy intent envisions broad changes in business processes and necessitates change in Department culture.  Each of these bulleted items correlates to key business process concepts as defined in the Department of Defense's Business Process Re-engineering guide.

As a guide, the Department has adopted functional specifications (dated November 30, 1994) as a five-year implementation plan.

To oversee the development of this system and to help ensure a uniform and cost effective solution, a statewide Electronic Document Management System Task Team has been appointed by the Assistant Secretaries for Finance and Administration, Transportation Policy and District Operations.  The objective of the team is to achieve department-wide compatibility of all EDMS solutions.  Through this effort, the team will attempt to make recommendations for pilot projects, review related budget issues and subsequent requests for acquisition of hardware and software, establish appropriate technical standards, and define a common indexing structure.

The objectives of the FSC are inconsistent with the broader objectives stated above and focus solely on the information technology aspects of the project.

In order to be effective, it is essential that the team be kept apprised of any current or planned initiatives throughout the Department related to electronic document management.  District Secretaries and Central Office managers should direct any related information to the appropriate Assistant Secretary for coordination with the task team.  Electronic document management is defined as the automated storing, retrieving, distribution and processing of shared documents.

The task team shall provide periodic status reports to the Executive Committee and make recommendations as needed.



                                        Ben G. Watts, P.E.
                                        Secretary

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## APPENDIX B

**POLICY**

Effective: March 18, 2004
Office: Information Systems
Topic No.: 001-325-008-c

# ELECTRONIC DOCUMENT MANAGEMENT and GEOGRAPHIC INFORMATION SYSTEMS

Electronic Document Management System (EDMS) is a technology that supports automated storing, indexing, retrieving, distributing, and processing of shared documents. Geographic Information System (GIS) is a technology that enables information to be depicted on a graphical map based on geographical coordinates. It is the policy of the Department to deploy enterprise-wide EDMS and GIS applications for its engineering, operations, planning, and administrative functions. Browser-based technology will be used to the fullest extent possible, as determined by technical constraints. The intent of this policy is to establish automated systems that will:
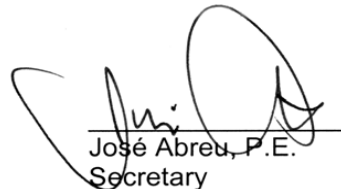
- Improve the quality and accessibility of Department information
- Support graphical analysis of geo-referenced data

EDMS and GIS will be centrally managed as enterprise technologies. These technologies will be supported by centralized or distributed application, database, and web servers.

The Information Resource Management Council (IRMC) provides executive oversight for enterprise initiatives, including EDMS and GIS, to ensure consistency with Department goals, objectives, and priorities.

The Business Systems Support Office (BSSO), Office of Information Systems (OIS), provides oversight for development of enterprise EDMS and GIS applications to ensure cost effective solutions and availability to other Department assets such as the Enterprise Information Portal.

In order to be effective, the Business Systems Support Office must be kept apprised of any current or planned EDMS or GIS initiatives throughout the Department and this information should be directed to the Manager, Business Systems Support Office, OIS, for coordination.

José Abreu, P.E.
Secretary

**APPENDIX C**

| EDMS DEVELOPMENT TIMELINE ||
|---|---|
| **DATE** | **MILESTONE** |
| **1992** | The Department's Production Management Business Area Analysis identified GIS and EDMS as information technology tools that would be critical to integrating the diverse data assets of the Department into a more unified enterprise knowledge base. |
| **September 10, 1993** | Multi-year statewide EDMS effort began with the creation of a task team appointed by the Assistant Secretaries for Finance and Administration, Transportation Policy, and District Operations. This Task Team, later known as the Functional Steering Committee, was composed of a variety of Department employees from each of the Districts. The committee members included managers and employees with diverse backgrounds. |
| **1994** | Recognizing that it lacked sufficient expertise to implement an enterprise wide EDMS system, the Department contracted with Universal Systems, Inc. (USI) to provide functional support for the EDMS effort. |
| **1994 - 1998** | USI worked with the Department to provide deliverables such as functional specifications and analysis, prioritization of pilot projects, and preliminary EDMS technical and business standards. USI submitted their deliverables in report format, detailing the background, scope, methodology, purpose, results, and recommendations of each task. USI also assisted with the evaluation of the technical proposals and Live Test Demonstrations resulting from the ITN. |
| **1995 - 1997** | The Office Inspector General conducted a proactive review of the EDMS project to help the Department benefit more fully from USI's expertise. |
| **April 25, 1996** | At the recommendation of USI, the FSC created the Central Infrastructure Development Facility (CIDF) to support the development of EDMS applications. With concurrence from the Executive Committee, the FSC agreed to expend $250,000 for the installation of the CIDF. The first test pilot project developed in the CIDF was completed in December of 1996. |
| **June 17, 1996** | The FSC appointed Ms. Georgalis the on-site CIDF Project Manager responsible for ensuring that the CIDF was successfully implemented. |
| **August 8, 1996** | Greg Waddell, former Department employee and consultant with USI, began developing Policy 325-055-015 to establish the formal processes to implement a statewide EDMS. |

| EDMS DEVELOPMENT TIMELINE | |
|---|---|
| **DATE** | **MILESTONE** |
| **October 2, 1996** | Greg Waddell began seeking comments on Policy 325-055-015. |
| **December 3, 1996** | Don Lyles, then EDMS Project Manager, announced that the CIDF was fully functional. |
| **January 21, 1997** | Greg Rudzik, acting CIO, submitted documentation to the Information Technology Resource Procurement Advisory Council requesting approval to acquire EDMS software and professional support services. |
| **February 11, 1997** | Policy 325-05-015 was sent to Nelson Hill, CIO, for review. |
| **March 12, 1997** | A Request for Proposal was (RFP) was issued for the EDMS vendor integrator contract. |
| **April 7, 1997** | A pre-bid conference was held to help prospective RFP respondents better understand the Department's request. |
| **April 15, 1997** | Assistant Secretary Barry completed review of Policy 325-055-015. The FSC worked to prepare response to review comments. Assistant Secretary Barry indicated that the procedure would be recirculated for Executive Review and not issued as a directive. |
| **August 1997** | From the RFP respondents, Altris was selected to negotiate with the Department. |
| **October 22, 1997** | Nelson Hill addressed the FSC to discuss his plan to create the Manager of Specialized Technologies position within OIS to oversee both EDMS and GIS.<br>-Interim EDMS Project Manager, Dave Brazet, informed the FSC that negotiations with Altris fell through because their solution did not meet the Department's needs. The FSC voted to discontinue negotiations with Altris.<br>-EDMS Policy 325-055-015 was put on hold pending the appointment of the Manager of Specialized Technologies. |
| **November 12, 1997** | Art Wright, Purchasing Officer, formally requested authority to use an ITN to procure the EDMS vendor integrator. The ITN is published soon after. |
| **November 21, 1997** | The RFP is officially terminated. A "No Award" status is publicly posted. |
| **November 26, 1997** | The ITN Document JA0698D1 is published. |

| EDMS DEVELOPMENT TIMELINE | |
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| **DATE** | **MILESTONE** |
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| **November – December 1997** | The ITN continues to be advertised. Bid packages are faxed to potential respondents. |
| **December 12, 1997** | This was the deadline for submission of technical questions regarding the ITN. All questions were logged in and opened. |
| **December 19, 1997** | Addendum #1 is mailed out. This addendum makes minor changes to the ITN package and contains additional information to be considered. |
| **January 1998** | The Special Technology Office was created within the OIS to coordinate the development, deployment, and support of EDMS and GIS for FDOT. This office was directly supervised by Nelson Hill, CIO. |
| **January 6, 1998** | This was the ITN response deadline. On this day, all proposals received were logged in and opened. |
| **January 6 – 15, 1998** | Technical proposals are scored by the technical evaluation team |
| **January 15 – 21, 1998** | Scores are posted as follows: |
| **January 16, 1998** | Altris notifies the Department of its intent to file a protest. |
| **January 21, 1998** | Thermo Information Systems notifies Department of its intent to file a |

Scores are posted as follows:

| **Company:** | **Scores:** |
|---|---|
| 1) Yang Enterprises, Inc. | 78.38 |
| 2) Blueridge Technologies, Inc. | 77.05 |
| 3) Thermo Information Solutions | 64.35 |
| 4) Intergraph | 59.84 |
| 5) Computer Generated Solutions, Inc. | 58.81 |
| 6) Image Connection | 58.78 |

Non-responsive:
Altris
Judge/Bentley
Lockheed Martin
PC Docs
Upshot

No bids:
Dakota Imaging
OCE
Seminole Office Products

| EDMS DEVELOPMENT TIMELINE | |
|---|---|
| **DATE** | **MILESTONE** |
| | protest. |
| **January 22, 1998** | Upon notification that the Department withdrew the initial posting of scores, both Altris and Thermo withdraw their protests. |
| **January 22 – 30, 1998** | The Department receives affirmative responses from Altris, Judge/Bentley, Lockheed Martin, PC Docs, and Upshot. |
| **February 1998** | Mavis Georgalis was appointed Manager of Specialized Technologies, and as such would be responsible for giving Greg Waddell of USI direction concerning the EDMS procedure. All proposals were rescored. |
| **March 13, 1998** | The final intended short list is posted. Scores were as follows: <table><tr><td>**Company:**</td><td>**Scores:**</td></tr><tr><td>1) Yang Enterprises, Inc.</td><td>78.38</td></tr><tr><td>2) Blueridge Technologies, Inc.</td><td>77.25</td></tr><tr><td>3) Lockheed Martin</td><td>65.66</td></tr><tr><td>4) Thermo Information Solutions</td><td>64.55</td></tr><tr><td>5) Integraph</td><td>59.48</td></tr><tr><td>6) Computer Generated Solutions</td><td>58.81</td></tr><tr><td>7) Image Connection</td><td>58.58</td></tr><tr><td>8) Altris</td><td>57.93</td></tr><tr><td>9) PC Docs</td><td>56.68</td></tr><tr><td>10) Upshot, Inc.</td><td>54.18</td></tr><tr><td>11) Judge/Bentley</td><td>54.14</td></tr></table> No protests are filed. |
| **March 31, 1998** | Yang Enterprises, Inc. and Blueridge Technologies, Inc. were invited to participate in the Live Test Demonstrations. Additional information is requested and due by April 10, 1998. |
| **May 1998** | Live Test Demonstrations are performed. |
| **June 15, 1998** | EDMS Project Manager, Mavis Georgalis, discusses vendor selection results with CIO Nelson Hill, Assistant Secretary Cris Speer, and Secretary Tom Barry. She indicates that the decision to select YEI over Blueridge focused on decentralized vs. centralized considerations and indicates that Blueridge could not support NT/Oracle. |
| **June 16, 1998** | The Department posts its intention to negotiate with YEI. |

## EDMS DEVELOPMENT TIMELINE

| DATE | MILESTONE |
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| **June 1998** | YEI enters into price negotiations with the Department. |
| **July 1998** | YEI begins work on the Construction Document Management System (CDMS) pilot project. |
| **November 1998** | OIS issued the Department's planning document for GIS and EDMS. This document discussed the status of both projects and outlined the short-term and long-term strategies and critical success factors for the implementation of both projects. |
| **January 20, 1999** | FDOT signs contract with YEI. |
| **May 1999** | CDMS Pilot project is completed. |
| **May 1999-2001** | Ongoing EDMS effort which will be further detailed in a subsequent report covering Objective 4. |
| **February 21, 2002** | Policy Statement 000-325-008 was replaced by Policy Statement 001-325-008-b, Electronic Document Management and Geographical Information Systems, which establish the Department's policy on GIS, to remove language referring to the Functional Specifications Document and the EDMS Task Team, and to update project goals. |
| **March 18, 2004** | Policy Statement 001-325-008 was revised to better describe the purpose of EDMS and GIS and to revised project goals. |
| **April 26, 2004** | YEI stopped working on Contract P0162 during 2001. Contract P0162 was cancelled on April 26, 2004, after replacement software for ARCIS was fully migrated to Department systems. Contract P0162 was kept in place until this time because it was the only legal agreement the Department had concerning ARCIS software maintenance. OIS procured Hummingbird's Document Management Suite to replace ARCIS in an effort to address concerns about the ability of ARCIS to continue to meet the Department's needs. |